In re Patent Application of:
FOX ET AL.

Serial No. Not Yet Assigned

Filing Date: Herewith

For: SYSTEM AND METHOD FOR
 ASSESSING THE SECURITY
 POSTURE OF A NETWORK USING
 GOAL ORIENTED FUZZY LOGIC
 DECISION RULES

### **RECEIVED**

JUN 2 1 2004

**Technology Center 2100** 

#### CITATION UNDER 37 CFR §1.97

Assistant Commissioner for Patents Washington, D.C. 20231

Sir:

Attached is Form PTO-1449 listing several references for consideration in the examination of the above-identified application. A copy of each reference is also enclosed. It is requested that these references be considered by the Examiner and officially made of record in accordance with the provisions of 37 CFR §1.97 and Section 609 of the MPEP.

If any additional extension and/or fee is required, or if any additional fee for claims is required, authorization is given to charge Deposit Account No. 01-0484.

Respectfully submitted,

RICHARD K. WARTHER

Reg. No. 32,180

Allen, Dyer, Doppelt, Milbrath

& Gilchrist, P.A.

255 S. Orange Avenue, Suite 1401 Post Office Box 3791

Orlando, Florida 32802

407/841-2330



FORM PTO-1449

LIST OF PATENTS AND

APPLICANT'S INFORMATION DISCLOSURE STATEMENT

RECEIVED

ATTORNEY DOCKET NO.: GCSD-1078 (51050) JUN 2 1 2004

SERIAL NO.: Not Yet Assigned

FILING DATE: Herewith

APPLICANT:

FOX ET AL.

GROUP:

Technology Center 2100

REFERENCE	REFERENCE DESIGNATION U.S. PATENT DOCUMENTS						
EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING IF APPROPRIATE
	AA	5,138,321	08/11/92	Hammer	342	36	
	AB	5,485,409	01/16/96	Gupta et al.	395	186	·
	AC	5,699,403	12/16/97	Ronnen	379	32	·
	AD	5,745,382	04/28/98	Vilim et al.	364	551.01	
	AE	5,787,235	07/28/98	Smith et al.	395	50	
	AF	5,798,939	08/25/98	Ochoa et al.	364	493	
	AG	5,892,903	04/06/99	Klaus	395	187.01	
	АН	5,963,653	10/05/99	McNary et al.	382	103	
	AI						
	AJ						·
	AK						
	AL						

FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION Yes No
	АМ						
	AN			,			

OTHER ART										
 		(Including	Author,	Title,	Date,	Pertinent	Pages,	etc.)	 	
AO										
AP										

EXAMINER:	DATE CONSIDERED:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; \* Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

JUN 2 1 2004

2100

SERIAL/PATENT NO.	Technology Contact
FILED/I <del>SSUED</del>	Technology Center
APPLICANT FOX Ital.	
KINDLY ACKNOWLEDGE RECEIPT OF ACCOMPANY BY PLACING YOUR MAIL ROOM STAMP HEREON.	YING PAPERS
Scheck Patent application transmittal with Certificate of Express Mail Label No. Claims, J4 drawings) Declaration and Power of Attorney Verified Statement Assignment w/Cover Sheet Response to Notice to File Missing Parts Citation Under 37 CFR §1.97 (IDS) Form PTO-1449 and Copies of Cited References Amendment Transmittal Form Amendment Responsive to the Official Action of Request for Extension of Time (mos.) Notice of Appeal (\$300 large entity) Appellant's Appeal Brief (\$300 large entity) Letter to Official Draftsman Status Request	Transmittal of Formal Drawings ( sheets) Part B-Issue Fee Transmittal PCT Request ( pp.) + Application ( pp.) Chapter II Demand ( pp.) Fee Calculation Sheet Cert. of Express Mail Label No. Response to PCT Invitation to Correct Defects Associate Power of Attorney Revocation of Prior Powers of Attorney and POA Petition Under 37 CFR §1.182 + \$130 Fee Terminal Disclaimer Request for Correction to Filing Receipt Transmittal of Certified Copy of Priority Document Preliminary Amendment Submission of Proposed Drawing Modification Request for Certificate of Correction Request for Correction to Assignment Recordation
2/8/00 5/050 DATE FILE NO.	RICHARD K. WARTHER (407) 841-2330 ATTORNEY
GCSD - 1078	e ear

Case No. GCSD-1078 (5105)

ASSISTANT COMMISSIONER FOR PATENTS

WASHINGTON, DC 20231

In re Application of: FOX ET AL.

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

"EXPRESS MAIL" MAILING LABEL NUMBER 439637995 US

DATE OF DEPOSIT

February

7, 2000

I HEREDY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED WITH THE ULLIFED STATES FOURL SERVICE "EXPRESS MAIL POST OFFILE 10 ADDRESSEE" SERVICE UNDER 37 CFR 1.10 ON THE DATE INDICATED ABOVE AND IS AUDICAGED TO THE COMMISSIONER OF PATENTS AND TRADEMARKS, WASHINGTON, D. C. 20031

(TYPED OR PRINTED NAME OF PERSON MAILING PAPER OR FEE)

(SIGNATURE OF PERSON MAILING PAPER OR FEE

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Serial No.:

**NOT YET ASSIGNED** 

JUN 2 1 2004

Filed:

**HEREWITH** 

Technology Center 2100

For:

SYSTEM AND METHOD FOR ASSESSING THE SECURITY POSTURE OF A NETWORK USING GOAL ORIENTED FUZZY

LOGIC DECISION RULES

Sir:

Transmitted herewith is an INFORMATION DISCLOSURE STATEMENT in the above-identified application.

- [X] This IDS is submitted under 37 C.F.R. § 1.97. No fee is required.
- [ ] This IDS is submitted under 37 C.F.R. § 1.97(c). Enclosed is a check in the amount of \$ 240.00 .
- [ ] This IDS is submitted under 37 C.F.R. § 1.97(c) and (e). No fee is required.
- [ ] This IDS is submitted under 37 C.F.R. § 1.97(d) and (e). Enclosed is a check in the amount of \$130.00 to cover the petition fee.
- [X] The Commissioner is hereby authorized to charge or credit any discrepancies in fee amounts to Deposit Account No. 01-0484.

Date: February 8, 2000

RICHARD K. WARTHER

Reg. No. 32,180

Allen, Dyer, Doppelt, Milbrath & Gilchrist, P.A.

P.O. Box 3791

Orlando, FL 32802-3791

255 South Orange Avenue - Suite 1401

P. O. Box 3791

Orlando, Florida 32802-3791

PHONE: (407) 841-2330

In re Patent Application of: FOX ET AL.

Serial No. 09/500,269

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JUN 2 1 2004

Technology Center 2100

Filing Date: February 8, 2000

For: SYSTEM AND METHOD FOR
ASSESSING THE SECURITY
POSTURE OF A NETWORK USING
GOAL ORIENTED FUZZY LOGIC

DECISION RULES

SUBMISSION OF AN INFORMATION
DISCLOSURE STATEMENT UNDER §1.97(c) & (e)

Director, U.S. Patent and Trademark Office Washington, DC 20231

Sir:

Attached is a form PTO-1449 listing several references which may be considered material to the examination of the above-identified application. A copy of each reference is also enclosed.

Pursuant to \$1.97(e), Applicants, by and through their undersigned attorney, certify pursuant to 37 CFR \$1.97(e) that either:

- (1) each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement, or
- (2) no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the

In re Patent Application of: FOX ET AL. Serial No. 09/500,269 Filing Date: 02/08/2000

certification after making reasonable inquiry, was known to any individual designated in \$1.56(c) more than three months prior to the filing of the statement.

Applicants note that the article entitled, "The Network Vulnerability Tool (NVT) - A System Vulnerability Visualization Architecture," was authored by co-inventors, Ronda R. Henning and Kevin L. Fox, as part of their affiliation with the present assignee, Harris Corporation, and dated October 18, 1999.

Applicants respectfully request that the references cited herein be considered by the Examiner and officially made of record in accordance with the provisions of 37 CFR §1.97(c) and (e).

RICHARD K. WARTHER

Reg. No. 32,180

Allen, Dyer, Doppelt, Milbrath

& Gilchrist, P.A.

255 S. Orange Avenue, Suite 1401

Post Office Box 3791

Orlando, Florida 32802-3791

407-841-2330

#### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: DIRECTOR, U.S. PATENT & TRADEMARK OFFICE, WASHINGTON, DC 20231, on this  $25^3$ October, 2001.

FORM PTO-1449
LIST OF PATENTS AND
APPLICANT'S INFORMATION DISCLOSURE STATEMENT

RECEIVED

ATTORNEY DOCKET NO.: GCSD-1078 (51050)

SERIAL NO.: 09/500,269

FILING DATE: February 8, 2000

JUN 2 1 2004

APPLICANT: FOX ET AL.

**GROUP:** 

Technology Center 2100

REFERENCE	REFERENCE DESIGNATION U.S. PATENT DOCUMENTS						
EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING IF APPROPRIATE
	AA	5,684,957	11/04/97	Kondo et al.	395	200.06	
	AB						·
	AC				<u> </u>		
	AD						
	AE						
	AF						
	AG						
	АН						
	AI						
	A.J						
	AK						
	AL	·					

FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION Yes - No
	AM	0 961 440 A2	01.12.1999	EP	H04L12	24	
	AN		1				

- OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)					
AO	Henning et al., "The Network Vulnerability Tool (NVT) - A System Vulnerability Visualization Architecture," U.S. Government Publication Release Authority, October 18, 1999, pp. 98-111.				
AP					

EXAMINER:	DATE CONSIDERED:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; \* Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

JUN 2 1 2004

Technology Center 2100

SERIAL/ <del>PATENT</del> NO. 09/500, 269 FILED/ISSUED 2-8-00	
APPLICANT FOX of al.	•
KINDLY ACKNOWLEDGE RECEIPT OF ACCOMPANYING PAP	ERS WITH YOUR MAIL ROOM STAMP.
\$	Transmittal of Formal Drawings ( sheets) Part B Issue Fee Transmittal .

JUN 2 1 2004

Technology Center 2100

SERIALIPATENT NO. 09/500, 269  FILED/ISSUED. 2-8-00  APPLICANT FOX et al  KINDLY ACKNOWLEDGE RECEIPT OF ACCOMPANYING PAPE	
	Transmittal of Formal Drawings ( sheets) Part B Issue Fee Transmittal PCT Request (pp.) + Application (pp.) National Phase Transmittal Letter Certificate of Express Mail Label No Response to PCT Invitation to Correct Defects Ch.II Demand Associate Power of Attorney Revocation of Prior Powers of Attorney and POA Petition Under 37 CFR §1.182 + \$130 Fee Terminal Disclaimer + \$110 Fee Request for Correction to Filing Receipt Request for Correction to Assignment and/or cover Transmittal of Certified Copy of Priority Document Preliminary Amendment Submission of Proposed Drawing Modification Request Certificate of Correction + PTO 1050
DATE FILE NO. //Www	ATTORNEY (407) 841-2330

In re Patent Application of:
FOX ET AL.

Serial No. 09/500,269

Filing Date: February 8, 2000

FOY: SYSTEM AND METHOD FOR
ASSESSING THE SECURITY
POSTURE OF A NETWORK USING
GOAL ORIENTED FUZZY LOGIC
DECISION RULES

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- JUN 2 1 2004

**Technology Center 2100** 

### SUBMISSION OF AN INFORMATION DISCLOSURE STATEMENT UNDER §1.97(c) & (e)

Director, U.S. Patent and Trademark Office Washington, DC 20231

Sir:

Attached is a form PTO-1449 listing several references which may be considered material to the examination of the above-identified application. A copy of each reference is also enclosed.

Pursuant to §1.97(e), Applicants, by and through their undersigned attorney, certify pursuant to 37 CFR §1.97(e) that either:

- (1) each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement, or
- (2) no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the

In re Patent Application of:
FOX ET AL.
Serial No. 09/500,269
Filing Date: 02/08/2000

certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement.

Applicants respectfully request that the references cited herein be considered by the Examiner and officially made of record in accordance with the provisions of 37 CFR §1.97(c) and (e).

Respectfully submitted,

RICHARD K. WARTHER

Reg. No. 32,180

Allen, Dyer, Doppelt, Milbrath

& Gilchrist, P.A.

255 S. Orange Avenue, Suite 1401

Post Office Box 3791

Orlando, Florida 32802-3791

407-841-2330

#### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: DIRECTOR, U.S. PATENT & TRADEMARK OFFICE, WASHINGTON, DC 20231, on this Aday of December, 2001.

FORM PTO-1449
LIST OF PATENTS AND
APPLICANT'S INFORMATION BISCLOSURE STATEMENT

RECEIVED

	D.: GCSD-1078	

JUN 2 1 2004

SERIAL NO.: 09/500,269

FILING DATE: February 8, 2000

APPLICANT: FOX ET AL.

**GROUP:** 

Technology Center 2100

REFERENCE	REFERENCE DESIGNATION U.S. PATENT DOCUMENTS						
EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING IF APPROPRIATE
	AA	5,812,763	09/22/98	Teng	395	187.01	
	AB						
	AC			·			
	AD						
,	AE_						
	AF						· .:
	AG						
	АН				· ·		
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	AK						
	AL						

FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION Yes No
	АМ	WO 99/56195	04.11.1999	PCT	G06F1	00	
	AN						

	•	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
АО			
AP			

EXAMINER:	DATE CONSIDERED:
	·

**EXAMINER**: Initial if reference considered, whether or not citation is in conformance with MPEP 609; \* Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

JUN 2 1 2004

Technology Center 2100

SERIAL/PATENT NO. 09/500, 269 FILED APPLICANT FOX et al.	2-P-00
KINDLY ACKNOWLEDGE RECEIPT OF ACCOMPANYING PAPE	ERS WITH YOUR MAIL ROOM STAMP.
Scheck Authorization - Deposit Account No. Utility application Provisional application pages, claims, making sheet CPA transmittal Divisional transmittal RCE transmittal Divisional transmittal Certificate of Express Mail Label No.: JAH 2 6 7004	PCT Request (pp.) + Application (pp.)  National Phase Transmittal Letter
Declaration and Power of Atterney	Response to PCT Invitation to Correct Defects Ch. II Demand Power of Attorney
Assignment w/Cover Sheet Change of Correspondence Address	Revocation of Prior Powers of Attorney and POA Petition for+ \$130 Fee
Response to Notice to File Missing Parts + copy	Terminal Disclaimer
Citation Under 37 CFR § 1.97 (IDS) Form PTO-1449 + copies of cited references	<ul> <li>Request for Correction to Filing Receipt</li> <li>Request for Correction to Assignment and/or cover</li> </ul>
Response to Restriction Requirement Response to Election Requirement	Transmittal of Certified Copy of Priority Document Preliminary Amendment
Amendment (Official Action of 10-27-03)	Submission of Proposed Drawing Modification Request Certificate of Correction + PTO 1050
Request for Extension of Time ( mos.)  Notice of Appeal	Substitute specification (w/marked up version) Other
1/22/04 51050 Harris	RKW
DATE FILE NO.	ATTORNEY



N THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

In re Patent Application of:
FOX ET AL.

JUN 2 1 2004

Technology Center 2100

Serial No. 09/500,269

Examiner: T. Ho

Filing Date: February 8, 2000

Examiner: 1. Ho

Confirmation No. 2343

) Art Unit: 2134

For: SYSTEM AND METHOD FOR
ASSESSING THE SECURITY
POSTURE OF A NETWORK USING
GOAL ORIENTED FUZZY LOGIC

DECISION RULES

CITATION UNDER 37 CFR \$1.97(c)

Mail Stop FEE Amendment Commissioner for Patents P. O. Box 1450 Alexandria, VA 22313-1450

Sir:

Attached is a form PTO-1449 listing several references for consideration in the examination of the above-identified application. These prior art references were located by the Examiner in the copending and related application serial no. 09/500,108, filed on February 8, 2000, its title listed on page 31 of the detailed description of the present application. A copy of each reference is also enclosed. It is requested that these references be considered by the Examiner and officially made of record in accordance

In Re Patent Application of:

FOX ET AL.

Serial No. 09/500,269 Filing Date: 02/08/00

with the provisions of 37 CFR §1.97 and Section 609 of the MPEP.

This submission is made in accordance with the provisions of 37 CFR §1.97(c). Authorization is hereby given to charge the \$180.00 processing fee to Harris Corporation Deposit Account No. 08-0870. If any additional fee is required, please charge Deposit Account No. 08-0870.

Respectfully submitted,

RICHARD K. WARTHER

Reg. No. 32,180

Allen, Dyer, Doppelt, Milbrath

& Gilchrist, P.A.

255 S. Orange Avenue, Suite 1401

Post Office Box 3791 Orlando, Florida 32802

Tel: 407/841-2330

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: MAIL STOP FEE AMENDMENT, COMMISSIONER FOR PATENTS, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450, on this 22 day of January, 2004.

Julii Lalan

FORM PTO-1449
LIST OF PATENTS AND
APPLICANT'S INFORMATION DISCLOSURE STATEMENT

RECEIVED

ATTORNEY DOCKET NO.: GCSD-1078 (51050)

Technology Center 2100

SERIAL NO.: 09/500,269

FILING DATE: February 8, 2000

APPLICANT: FOX ET AL.

EXAMINER: T. Ho **ART UNIT: 2134** 

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS							
EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING IF APPROPRIATE
	AA	5,751,965	05/12/98	Mayo et al.	395	200.54	
	AB	5,787,235	07/28/98	Smith et al.	395	50	
	AC	6,020,889	02/01/00	Tarbox et al.	345	356	
	AD	6,301,668	10/09/01	Gleichauf et al.	713	201	
	AE .	6,324,656	11/27/01	Gleichauf et al.	714	37	
	AF	6,415,321	07/02/02	Gleichauf et al.	709	224	
	AG	6,499,107	12/24/02	Gleichauf et al.	713	201	
	АН						
	AI						
	AJ						
	AK						
	AL						

FOREIGN PATENT DOCUMENTS						
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION Yes - No
АМ						
AN						

		OTHER ART	
	.,,,	(Including Author, Title, Date, Pertinent Pages, etc.)	
AO			1111
AP			

EXAMINER:	DATE CONSIDERED:

**EXAMINER**: Initial if reference considered, whether or not citation is in conformance with MPEP 609; \* Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.